



Chapter 13 – Program Evaluation

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REFERENCES

- (a) DoD Instruction 1400.25-V2013, "Program Evaluation," April 17, 2012
- (b) DoD Directive 1400.35, "Defense Civilian Intelligence Personnel System (DCIPS)," September 24, 2007, as amended
- (c) Section 1601 of Title 10, United States Code
- (d) SECNAV Instruction 12900.2a, "Defense Civilian Intelligence System," February 8, 2013
- (e) Naval Intelligence Defense Civilian Intelligence Personnel Systems (DCIPS) Manual, July 25, 2014
- (f) SECNAVINST 12250.6A, "Civilian Human Resources Management in the Department of Navy," January 17, 2013

1. **PURPOSE.** To establish and implement Naval Intelligence (NAVINTTEL) policy, prescribe procedures and assign responsibilities for evaluating the effectiveness of the Defense Civilian Intelligence Personnel System (DCIPS) within the Department of Navy (DON).

2. **APPLICABILITY.**

2.1. This chapter applies to all Department of Navy (DON) Intelligence and Intelligence Support civilian personnel who have been appointed under Section 1601 of Title 10, United States Code, reference (c). Organizations managing DON DCIPS employees covered by this policy shall be referred to hereinafter as the "Entities with DON DCIPS positions (EDDPs)".

2.2. This chapter does not apply to employees covered by the Federal Wage System or equivalent, non-appropriated fund employees, military service members, Department of Defense (DoD) contractors, or foreign nationals.

2.3. This chapter does not apply to members of the Defense Intelligence Senior Executive Service (DISES) or Defense Intelligence Senior Level (DISL) employees unless specifically addressed in other Naval Intelligence DON DCIPS Chapters.

3. **POLICY.** It is Naval Intelligence (NAVINTTEL) policy that:

3.1. DCIPS shall be evaluated on a regular basis as a collective responsibility of Naval Intelligence and its Entities with DON DCIPS Positions (EDDPs).

3.2. Evaluations will address progress in achieving human capital goals and examine human capital trends in the the Defense Intelligence Enterprise.

3.3. Evaluations will be designed to determine the effectiveness of DCIPS in contributing to the DON and DoD Intelligence Community (IC) human capital strategy.

3.4. Evaluations shall address the specific application and results of DCIPS policies, procedures, and programs in addition to the more general dynamics and responsiveness of DCIPS to the mission and strategic goals of the Defense and Intelligence Communities.

4. RESPONSIBILITIES.

4.1. The **Head, Naval Intelligence Activity (NIAH)** shall:

4.1.1. Develop, in collaboration with the Director of Intelligence, Headquarters Marine Corps (HQMC) and the Entities with DON DCIPS positions (EDDPs), DCIPS policies, procedures and requirements for DON DCIPS program evaluation activities, reference (d).

4.1.2. In conjunction with the Under Secretary of Defense for Intelligence (USD(I)), develop the overall program evaluation methodology.

4.1.3. Issue supplemental guidance as appropriate and consistent with reference (a) through (f).

4.1.4. Delegate the authority to implement this chapter within the Naval Intelligence Enterprise as appropriate.

4.1.5. Designate a representative at the Defense Intelligence Senior Executive Service (DISES) level or equivalent to implement this chapter within Navy, as appropriate.

4.2. The **Naval Intelligence Chief Human Capital Officer (CHCO)** shall:

4.2.1. Provide executive advice and consultation to the NIAH on the development of DON DCIPS evaluation metrics, methodologies, plans, and schedules and identify areas of focus for evaluation.

4.2.2. Provide oversight and implementation of this chapter within the DON DCIPS community for compliance with the applicable guidance as outlined in references (a) through (f).

4.2.3. Design and implement a program for regular Naval Intelligence Enterprise-wide evaluation of mission impacts and operational effectiveness of DCIPS.

4.2.4. Establish and utilize human capital metrics and methodologies for the evaluation of DCIPS effectiveness as prescribed in this chapter and references (a) through (f).

4.2.5. Revise DCIPS policy in conjunction with USD(I) based on regular and special evaluations of DCIPS.

4.2.6. Develop criteria and framework for implementation, oversight and ongoing assessment of the DON HR service delivery structure and processes as outlined in reference (e).

4.2.7. Review, assess and report to (NIAH), USD(I) and DON OCHR on all HR servicing deficiencies impacting the sustainment of HR service level agreements across the Naval Intelligence Enterprise.

4.2.8. Advise and provide recommendations to USD(I), and DON OCHR on the development of DCIPS and DON evaluation metrics, methodologies, plans and schedules and identify areas of focus for future evaluation in response to DON DCIPS and human capital program evaluation outcomes.

4.2.9. Provide the Heads of the EDDPS with HC internal evaluations metrics, policy and practices.

4.2.10. Develop and apply measures and metrics for HR and Equal Employment Opportunity (EEO) & Diversity service efficiency and quality.

4.2.11. Represent Naval Intelligence to, other agencies, including but not limited to Department of Defense (DoD), Under Secretary of Defense for Intelligence (USD(I)), Office of the Director of National Intelligence (ODNI), Office of Personnel Management (OPM), and DON Civilian Human Resources Office (OCHR) for program evaluation activities for the Naval Intelligence community.

4.2.12. Plan, lead, and provide reports on all DCIPS and HC program evaluations.

4.3. The **Directors of Civilian Human Resources (DCHR)** shall:

4.3.1. Conduct internal evaluations of the effectiveness of DCIPS and the DON HR service delivery model in accordance with the established guidance as prescribed in this chapter and references (a) through (f).

4.3.2. Review evaluation reports and provide recommendations to the NIA CHCO on the implications of internal EDDP findings.

4.3.3. Take action to ensure the effectiveness of DCIPS personnel management, including equitable application of entitlements and benefits.

4.3.4. Monitor program evaluation activities as appropriate in their respective EDDP.

4.3.5. Consult with the NIA CHCO on the establishment and implementation of human capital metrics and relevant analytical methodologies.

4.3.6. Take appropriate actions in response to the Naval Intelligence Enterprise-wide evaluation result and outcomes.

4.4. The **Human Resources Directors (HRD)** servicing DCIPS employees shall:

4.4.1. Support DON DCIPS and DON OCHR program evaluation standards and requirements by maintaining records and documentation necessary to support data gathering requirements. This includes, but is not limited to, personnel records, training data, transactional data, and additional data as requested.

4.4.2. Provide program evaluation reports to the Naval Intelligence Chief Human Capital Office as required.

4.5. The **Heads of Entities with DCIPS Positions (EDDPs)** shall:

4.5.1. Support program evaluation activities in accordance with this chapter.

4.5.2. Supplement this chapter where appropriate to meet EDDP-specific program evaluation objectives.

4.5.3. Conduct internal evaluations effectiveness of DCIPS in coordination with the Naval Intelligence Chief Human Capital Office as required.

4.5.4. Maintain a program that provides required reporting in support of Naval Intelligence evaluations initiated by NIAH and or NIA CHCO.

4.5.5. Take appropriate actions in response to the results of DCIPS program evaluation outcomes.

5. PROCEDURES. Navy Evaluation Program Objectives and Evaluations of DON DCIPS shall:

5.1.1. Determine the degree to which DON DCIPS policy, programs, and responsibilities are known, understood, and

carried out equitably and effectively by managers, supervisors, and employees.

5.1.2. Confirm that all applicable laws, Executive Orders, rules, and regulations are being followed.

5.1.3. Support the Navy's efforts to set and prioritize human capital goals, determine progress in achieving goals, and examine human capital management's contribution to the Naval Intelligence mission.

5.1.4. Provide information to aid in the development of strategic human capital planning initiatives and identify opportunities for the development of new policy, procedures, or designs to improve mission results, equity, and operational efficiency.

5.1.5. Identify best practices in DCIPS and HC management and foster their application across the Naval Intelligence Enterprise.

5.2. PLANNING EVALUATIONS

5.2.1. **Annual Evaluations.** NIA Chief Human Capital Office shall develop an annual DCIPS Program Evaluation plan. This plan shall:

5.2.2. Be developed on an annual basis and published in March of each calendar year.

5.2.3. State the scope and coverage of the evaluation and, if applicable, identify areas of specific interest to the Naval Intelligence Senior level leadership (i.e., recruiting effectiveness, attrition).

5.2.4. Define evaluation team membership and leadership roles; identify how the evaluation will be organized and conducted, including requirements and schedules for on-site visits and interviews; define data requirements, processes, and procedures; and specify any additional steps or requirements necessary to the conduct of the evaluation.

5.2.5. **Special Purpose Evaluations.** The Naval Intelligence Chief Human Capital Office may institute ad hoc or special purpose evaluations in response to issues identified in human capital management across the Naval Intelligence Enterprise.

5.2.6. The Naval Intelligence Chief Human Capital Office will

consult internally with the Naval Intelligence Civilian Oversight Board (NCOB) and EDDP Heads and externally as necessary with the Defense Intelligence Human Resources Board (DIHRB) on issues warranting evaluation.

5.2.7. The Naval Intelligence Chief Human Capital Office shall lead all special purpose evaluations and shall engage the USD(I), Head EDDPs external consultants, and others as necessary to conduct the evaluations.

5.2.8. The Naval Intelligence Chief Human Capital Office shall plan such evaluations to provide findings to the NIAH in a timely manner by ensuring focus, brevity, and validity.

5.3. CONDUCTING EVALUATIONS.

5.3.1. Required Features in all DON DCIPS HC Evaluations. All DON DCIPS and HC evaluations shall:

5.3.1.1. Follow a published project management plan that identifies key research questions, assessment criteria, critical milestones, responsible parties, primary and secondary information and data sources, coordination, reporting and dissemination requirements, and delivery schedule.

5.3.1.2. Assess employee and manager satisfaction with the efficiency and effectiveness of DON DCIPS policies, processes, and outcomes.

5.3.1.2.1. Such assessments shall be integral parts of the annual evaluations required in paragraph 5.2 of this chapter and shall be based on gathering and sampling qualitative and quantitative data.

5.3.1.2.2. The Naval Intelligence Chief Human Capital Office shall incorporate findings from the annual IC climate survey or other Government-wide satisfaction surveys, as appropriate, in the analysis.

5.3.1.3. Utilize core metrics identified in subparagraph 5.4 of this chapter.

5.3.2. Data Sources. The DON DCIPS evaluations shall, The DON DCIPS evaluations shall, wherever possible, be based on existing reporting data readily available within the Navy's Human Resource Information Systems (HRIS). Data will be representative of human resources statistics of the EDDPs

participating in the evaluation.

5.3.2.1. Evaluations shall incorporate existing or standard external data sets, including those developed within the USD(I), Office of the Director of National Intelligence (ODNI), DON OCHR, elsewhere in the Federal Government, or commercially.

5.3.2.2. The NIA Chief Human Capital Office shall determine the need for the development of specialized data sets.

5.3.3. Methodologies in DON DCIPS Evaluations. All DON DCIPS evaluations shall undertake a rigorous, state-of-the-art, multi-method approach that includes gathering and sampling workforce data; applying human capital metrics; utilizing surveys, focus groups, and interviews; and gathering and analyzing other specialized program performance data.

5.3.3.1. The NIA Chief Human Capital Office may use surveys, interviews, data calls, and data base reports for annual and special purpose evaluation requirements.

5.3.3.2. The NIA Chief Human Capital Office will be the focal point for development and approval of DON DCIPS Intelligence evaluation methodologies.

5.3.4. Required Features in all DON DCIPS Evaluation Reports. DON DCIPS evaluation reports shall provide a summary of key findings and recommendations; a narrative that examines and interprets DCIPS data against benchmarks or metrics; an assessment of the implications on mission success of the findings and trends; and recommendations for remedial actions.

5.3.4.1. Reports shall be developed for the USD(I) and the Naval Civilian Oversight Board (NCOB) principal customers.

5.3.5. Coordination with Office of the Director of National Intelligence (ODNI).

5.3.5.1. Naval Intelligence shall coordinate with the USD(I) and ODNI on data calls, evaluation methodologies, and evaluations and reports having applicability to the IC beyond the DoD.

5.3.5.2. EDDPs shall refer to the office of the Naval Intelligence CHCO on all requests from USD(I), ODNI and all other agencies for DCIPS-related data and analysis.

5.4. CORE METRICS.

5.4.1. DON DCIPS program *evaluations* shall measure system performance against core functional metrics across the Naval Intelligence community. The following core metrics were established by the USD(I) to be applied in regular annual DCIPS evaluations. EDDPs shall incorporate these core metrics into their regular DCIPS management. EDDPs may utilize additional metrics, as necessary.

5.4.2. Core Staffing Metrics.

5.4.2.1 Time-to-Fill. The EDDPs shall measure the average time it takes to fill a position as determined by the Office of Personnel Management (OPM), and DON methodology.

5.4.2.2. Vacancy Rate. The EDDPs shall track vacancy rates in key mission categories, work categories, and work levels, as appropriate. Naval Intelligence shall consult with the EDDPs on the appropriate vacancy rate percentages to allow for normal career growth and rotational development while maintaining opportunities for new hiring.

5.4.2.3. Transparency. The NIA CHIEF Human Capital Office in consultation with the EDDPs shall measure employee and candidate perceptions of the fairness of EDDP selection processes through regular opinion surveys provided through the USD(I), DON OCHR and ODNI in accordance with reference (a).

5.4.2.4. Collaboration. The Chief Human Capital Office in consultation with the EDDPs shall report regularly, as determined by the USD(I) and DON OCHR on, critical indicators in employment and placement. Such indicators shall be developed by the NIA Chief Human Capital Office.

5.4.2.5. Quality Metrics. The NIA Chief Human Capital Office in consultation with the EDDPs shall use surveys and other appropriate means as determined by the USD(I) and DON to measure manager satisfaction with the hiring process and the quality of selectees.

5.4.2.6. Workforce Distribution. EDDPs shall maintain data on the distribution of their DCIPS workforces by mission category, work category, and work level. EDDPs shall have this data readily available for data calls as required.

5.4.2.7. Separation Rate. The NIA Chief Human Capital Office in coordination with the EDDPs will measure the separation rate for the quarter and fiscal year using a common formula provided by the USD(I). This calculation will be made for key workforce elements including tenure group, mission category, occupation, work category, work level, and overall performance rating.

5.4.2.8. Diversity. EDDPs shall continuously monitor their workforce distribution according to demographic elements as promulgated by the DoD.

5.4.3. Core Compensation Metrics.

5.4.3.1. Competitiveness of Pay Scale and Structure. Naval Intelligence shall support USD(I) reviews and measure the competitiveness of the DCIPS pay scale in relation to the appropriate labor market, in collaboration with the EDDPs as described in DON DCIPS Chapter 6 of Naval Intelligence Defense Civilian Intelligence Personnel Systems (DCIPS) Manual, reference (e). In order to support this responsibility, the NIA Chief Human Capital Office in coordination with the EDDPs shall systematically collect and maintain data for use in DON and USD(I) examinations of the competitiveness of the DCIPS pay plans. Such data shall include:

5.4.3.1.1. The differences in pay and compensation received by individuals who rejected an EDDP's offer of employment for pay reasons.

5.4.3.1.2. The pay and compensation accepted by employees who separate from the EDDP, if it can be determined (e.g., through exit interviews).

5.4.3.1.3. Market survey data reflecting the market alignment of the EDDP's core occupations' pay and compensation.

5.4.3.2. Differential Performance-based Payouts. The NIA Chief Human Capital Office shall annually examine the differences in performance-based payouts received by employees with different ratings of record, positions in pay range, work categories, work levels, gender, ethnicity, age, and other factors. Analysis shall examine performance-based bonuses or other forms of recognition that result in permanent increases

to pay, such as the quality step increase provided pursuant to DON DCIPS Chapter 12 of reference (e).

5.4.3.2.1. The data from these analyses will be analyzed by comparison to historical and benchmark data developed by USD(I) and ODNI.

5.4.3.2.2. The NIA Chief Human Capital Office will analyze the data from these analyses from both the individual EDDP and Navy Intelligence perspective.

5.4.3.3. Awards. The NIA Chief Human Capital Office in coordination with the EDDPs shall maintain and report data on the amount of monetary awards and the cost of non-monetary awards, including comparative data on spot award amounts, award amounts compared to pay pool payouts, distribution of awards by mission category, work category, work level, gender, ethnicity, age, and other factors.

5.4.4. Core Performance Management Metrics.

5.4.4.1. Rating Distribution. The NIA Chief Human Capital Office in coordination with the EDDPs shall maintain and report data on performance rating distribution by percentage of population in each rating level by organizational unit, mission category, work category, work level, position in pay range, demographics, and other factors as determined by the CHCO and/or USD(I).

5.4.4.2. Promotion Rates. The NIA Chief Human Capital Office in coordination with the EDDPs shall calculate a per capita annual promotion rate by mission category, work category, work level, position in pay range, rating level, demographics, and other factors as determined by the NIA CHCO and/or USD (I).

5.4.4.3. Reassignment Rates. The NIA Chief Human Capital Office in coordination with the EDDPs shall calculate and report a per capita annual reassignment rate for each mission category, work category, and work level.

5.4.4.4. Impact of Unacceptable Ratings. In addition to statistics maintained and reported on ratings distributions, the NIA Chief Human Capital Office in coordination with the EDDPs shall track and report disposition of cases where employees have received an overall rating of 1 "Unacceptable".

5.4.4.5. Impact of Outstanding Ratings. In addition to

promotion rates the NIA Chief Human Capital Office in coordination with the EDDPs shall calculate and report the annual rate of promotion, reassignment, and assignment to long-term training made for employees with overall ratings of 5, "Outstanding". This calculation shall provide data by mission category, occupation, work category, and work level.

5.4.5. Core Employee Relations Metrics. For input in the annual Navy Intelligence DCIPS evaluations, the NIA Chief Human Capital office in coordination with EDDPs shall record and report:

5.4.5.1. Adverse Actions. The rate of adverse actions (separating performance-based from conduct-based) per 1,000 population.

5.4.5.2. Grievances. The rate of grievances per 1,000 populations.

5.4.5.2.1. Reconsiderations of Evaluation of Record. The number of requests per 1,000 population for administrative reconsiderations of evaluations of record initiated in accordance with DON DCIPS Chapter 11 of reference (e).

5.5. **CORE PROFESSIONAL DEVELOPMENT METRICS**. EDDPs shall report to the NIA Chief Human Capital Office information on the mission effectiveness of learning and development programs by:

5.5.6. Participating in biennial USD(I) Professional Development Staff Assist Visits to Defense Intelligence training and learning facilities that collaboratively measure accomplishments against enterprise learning and development goals.

5.5.7. Maintaining data for biennial reporting on the numbers of DON DCIPS employees possessing certifications from approved programs, by certification and mission category.

5.6. **ADDITIONAL CORE METRICS**. The NIA Chief Human Capital Officer shall recommend changes or additions to core metrics to the USD(I) via the NIAH.

5.7. **OTHER CORE HUMAN CAPITAL MEASUREMENTS**. Naval Intelligence may develop and utilize other calculations deemed appropriate for the examination at hand. Such metrics may be developed by the NIA CHCO in collaboration with the EDDPs.

5.8. INCORPORATING FINDINGS INTO POLICY.

5.8.1. The NIA CHCO shall incorporate into DON DCIPS policy the results of annual Navy Intelligence evaluations, special evaluations, and internal EDDP evaluations and, as appropriate, external evaluations.

5.8.2. Recommendations for Naval Intelligence DON DCIPS policy changes will be developed by the NIA CHCO in coordination with appropriate authorities.

5.8.3. EDDPs shall incorporate results from key findings data in future DON DCIPS training of employees, managers, pay pool panel members, and pay pool managers.